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| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i> | | | | Complete If Known Application Number 09/945,099 Filing Date August 31, 2001 First Named Inventor Knight, Timothy Art Unit 2174 Examiner Name Ke, Peng |
| Sheet | 1 | of | 1 | Attorney Docket No: 0006-003004 |

US PATENT DOCUMENTS

| Examiner Initials* | Cite No | USP Document Number | Publication Date | Name of Patentee or Applicant of cited Document | Filing Date If Appropriate |
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| PK | | US-5297032 | 03/22/1994 | Trojan, D. R., et al. | 02/01/1991 |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Foreign Document No | Publication Date | Name of Patentee or Applicant of cited Document | T ² |
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OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|--------------------|----------------------|---|----------------|
| PK | | MARKESE, J., "Can You Trust Mutual Fund Rakings", <u>Consumer's Research Magazine</u> , 76 (10), Research Library, (Oct., 1993), Page 20 | |

EXAMINER

DATE CONSIDERED

8/17/06

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.